

Administrative Records Schedule Review Project

Final Report

July 22, 2002

Administrative Records Schedule Review Project - Final Report

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Administrative Records Schedule Review Project

Final Report

Introduction

Many of the Department's Records Managers indicated that they had concerns regarding the recently issued Administrative Disposition Schedules. DOE HQ requested that the DOE-SR lead a team to review the schedules. The intent of the team was to ensure that the new schedules were complete and correct. The establishment of the review team, the project scope, and the expected deliverables are documented in the Memorandum 02-06, from Susan L. Frey, DEPARTMENTAL RECORDS OFFICER, IM-11.

In addition to SRS, representatives from Headquarters, Oak Ridge, Idaho Operations Offices, and Richland Operations, were active team participants. The team identified and consolidated issues, analyzed problem areas, and provided recommendations on how the schedules could be improved. The project began in early January with an anticipated completion date of the end of June.

Project

The establishment of the team was accomplished during the month of January and the first videoconference held February 5th. The basic outline for the project was presented and agreed to in this meeting and later enhanced and documented in the Administrative Record Schedule Review Project Plan. The draft plan was distributed to the team 2/12/02 for comments and the final plan issued 2/14/02.

(see attachment A "Administrative Record Schedule Review Project Plan")

The review of the ARS and consolidation of issues revealed that there are many instances where the schedules that were finalized and published do not reflect what was approved during the NARA review. It appears that some of these variations were intentional and editorial in nature, and the impact is minimal to implementation of the specific record series and/or retention requirement. In some cases the variation is not acceptable and it appears that administrative and/or technical errors occurred during the incorporation of NARA approved schedules into the ARS. In either case an evaluation of the items identified should be performed to ensure that the ARS reflects what is approved by the NARA and binding on the DOE records program.

In addition, there were many editorial issues which can be resolved by taking a consistent approach to the creation of the schedules and documenting the process and program requirements. Examples of these were typos, schedule formatting, addition and/or deletion of notes, and the proper referencing of the disposal citation.

All of the items identified during the various site reviews were compiled into the "Consolidated Issue Matrix" (see attachment B).

Generic issues identified by category with recommendations

The following are the generic issues identified and included in the Consolidated Issues Matrix, followed by the team's recommendation for resolution.

1. Unapproved changes which: add informational notes and references or omit notes which are approved by NARA.

Recommendation: allow these as editorial enhancements but a review is required to ensure there is

not an unintended result, detrimental to understanding the subject matter.

2. Unapproved changes adding “fiscal year cutoffs and/or file cutoff.

Recommendation: review case by case to determine where fiscal versus calendar cutoffs are not an impact on legal retention requirements. For these cases allow fiscal and calendar year cutoffs instructions to be interchangeable with the responsibility placed on the records custodians. Attain concurrence from NARA for this approach.

3. Unapproved changes – both the record series (header) and the actual retention requirement.

Recommendation: Verify information on approved source document and edit ARS accordingly.

- 3h. Unapproved changes – header only (this may include the record series description as well as the overall records category)

Recommendation: Verify information on approved source document and edit ARS accordingly.

- 3r. Unapproved changes – retention only

Recommendation: Verify information on approved source document and edit ARS accordingly.

4. The referenced “Citations” of the various NARA approved submittals (SF115s, GRS, DOERS SF115s) are not consistently located in the formatting of the ARS. In many schedules there are numerous reference number changes between Header information, record series, and retention, within a given ARS item. Many of the references are incorrect or are missing entirely. The placement of the NARA approval number will be critical in ensuring the correct reference is entered on SF135s.

Recommendation: Verify NARA approval number (reference) on approved source document and edit ARS accordingly.

5. Changing “Agency” to “Department”. Editorial license? Is this appropriate in each and every case?

Recommendation: Change back to Agency.

6. TYPOs. Need to replace with correct spelling.

Recommendation: Correct accordingly.

7. Schedule formatting: Paragraph alignment, indentation of record series, retention, etc., “reserved items”.

Recommendation: Document format requirements and correct ARS accordingly.

8. Changes or issues identified with the preamble of a schedule. Some of these issues are concerned with the inclusion of the words from an old schedule in a particular schedule, seemingly out of place. Some are NARA approval reference issues.

Recommendation: Review schedules for logical and accurate placement of previously approved material. Revise and move information to different schedule where it is agreed to be appropriate.

9. Crosswalk issues. Some cross-references are incorrect are missing.

Recommendation: Revise Crosswalk document after resolution of items identified on the Consolidated Issues Matrix.

Non-generic Issues

There were a number of issues identified which did not fall under general categories. These items were identified separately in the matrix and were evaluated case by case by the team at the meeting in Milwaukee. The recommended/actual resolution is now documented in the CIM. (see attachment C)

Additional Issues

Some of the following issues require resolution before the Administrative Record Schedules can be considered accurate and complete. There may be a need to discuss these further and document the appropriate follow-up at a later date.

EPI

A number of issues concerning EPI records identification and the subsequent notification process were identified in the CIM. These issues were broken out from the CIM and submitted to DOE HQ separate from this report. The appropriate action at DOE HQ is being taken to resolve these issues.

Document Control

The ARS must be managed in a document control program. Change control is required to ensure that information is current and accurate and that the latest revision is available. There is a need to be proactive in the notification process of changes, corrections, and updates to the schedules. This can be accomplished very reasonably by notifying users through a controlled distribution of any informational changes affecting the schedules. The owner of the ARS should evaluate the appropriate software and procedure requirements to implement such a program. All cross-referencing documentation should be included in this program, such as the "DOERS Records Schedule Cross Index".

(see attachment D for document control program recommendations)

Reconsideration of NARA approved retentions

There are a number of NARA approved retention requirements with which one or more sites do not necessarily agree, or find they can not implement appropriately. Some retention requirements were adjusted to 75 years in order support the EPI freeze. A number of these record series had been reviewed and released for destruction at the site level, in accordance with the previous retention requirement. This has created confusion as to the actual retention requirement to be imposed. The team proposes that these occurrences be reviewed on a case-by-case basis. If determined that the approved retention should be reevaluated, a new SF-115 shall be submitted accordingly. Notice of any proposed changes should be communicated to the complex prior to submittal to NARA.

Schedule Overlap Review

A number of conflicting retention requirements have been identified between the Environmental Records schedule and the ARS. Although this was not a focus of the review performed by the team at SRS, information from other sites is included as an attachment to this report. From these submittals it would appear that a complete review of items in the Environmental and other Program Schedules should be performed and determine the effect that these overlaps/conflicts have on retention implementation, and resolve accordingly.

Cutoff Instructions

There is a concern that cutoff instructions, which are included in many retention requirements, are not practical or desirable. One could argue that retention requirements are to specify the length of time a record must be kept and provide disposition instructions. A retention schedule (at the NARA approval level) should not give file plan and processing instructions. This should be reserved for the implementing organization and based on many factors beyond retention! For instance, with many sites implementing electronic records management programs, these cutoff instructions lose value and functionality. They do not necessarily fit in with the concepts of electronic recordkeeping. (This issue now coincides with generic item #2)

Note: NARA has recently responded to comments about file cutoffs in the background section of GRS 24.

“In response to specific comments about terminology, apparent redundancies, and retention periods for some items, NARA consolidated some items and provided other clarifications to address the concerns. NARA believes the schedule is now at the appropriate level of detail. Given the agencies’ interest in having more flexibility in applying disposition standards for temporary records, NARA eliminated the cutoff instructions and reworded some of the disposition instructions to allow agencies disposition options based on their internal procedures and operations.”

Attachment A

Administrative Record Schedule Review Project Plan

Purpose and Scope

To review the DOE Administrative Record Schedules (ARS) against the General Records Schedules (GRS), the DOE Records schedules (DOERS), and any approved SF115s that were incorporated into the new schedules. Verify and document any issues or concerns with the schedules. Make recommendations to improve the schedules.

The establishment of the review team, the project scope, and the expected deliverables are documented in the December 19th Memorandum 02-06 from Susan L. Frey, DEPARTMENTAL RECORDS OFFICER, IM-11. (reference below, Memo with Charter attached).

Process

Review and submittal of items

As requested in Memo 02-06, all DOE sites are to submit any issues or concerns they have identified with their review and/or implementation of the ARS to Dot Green, SRS RO. (extended date: 2/21/02)

Example of issues previously identified:

- Items from the DOERS were “cut and pasted” into various schedules in the AS and do not fall in the scope of that schedule’s preamble: move to a different schedule and/or revise the preamble to expand scope?
- Some retention periods/instructions are not clear as to the intent and viability of implementation. Revise accordingly and resubmit to NARA?
- Ensure all applicable disposal authorities from prior schedules have been captured/included in the AS.
- Overlap/conflict exists between AS and the R&D, Environmental, and Weapons Data schedules.

Consolidation of items

SRS will establish a team to consolidate items submitted from all sites into the Consolidated Issues Matrix (CIM). (reference below, CIM with field explanation) This matrix will provide the baseline information that the Project team will review and provide recommendations for improvements to DOE HQ.

Project Consolidation Task Team

The team is responsible for:

- reviewing the DOE/ADMIN Schedules with the associated GRS and DOERS schedules. The team will document any discrepancies and or questionable information as a product of this review.

- The team will review the issues and items identified with items submitted by other reviewing organizations (including recommendations) and integrate into a consolidated table (CIM). Items particular to a specific site will be so noted.
- Issues identified beyond the item by item review will be documented for submittal in the text of the final report. (such as concerns about revision control and synchronization between schedules)
- The Project Consolidation Task Team will submit the CIM to DOE/ADMIN Schedule Project Team for review and concurrence.

DOE/ADMIN Schedule Project Team

The following are the current members of the DOE/ADMIN Schedule Project Team:

Sharon Evelin/Jay Blewett assisting (HQ)
 Tom Mccarthy, WSRC-SR
 Kermitt Nicks, WSRC-SR
 Kathryn Gainey, WSRC-SR
 Phyllis Hegler, WSRC-SR
 Karen Strange, OR
 Gail Splett, RL
 Lorrie Robb, Idaho
 Dot Green/Rhonda Darr assisting
 Tammy Blackman (WSI-SR)

- The DOE/ADMIN Schedule Project Team will review the draft CIM and report submitted by the consolidation team, revise accordingly, and document the appropriate recommendations.
- Prepare final report for DOE HQ documenting:
 - 1) records series from the DOERS that were not included in the Administrative Schedules;
 - 2) questionable or incorrect records disposition instructions;
 - 3) schedule items that require further work and the reason(s).
- The DOE/ADMIN Schedule Project Team will coordinate with DOE HQ to finalize the report, implement recommendations, and close the Project.

Note: It has been suggested that a central database be developed to capture information resulting from this project. This would include documenting the decision making process and justification for any enhancements to the schedules. The Consolidation Task Team and the Project Team will coordinate with DOE HQ in development and implementation of this database.

December 19, 2001

MEMORANDUM TO: ALL RECORDS MANAGERS

FROM: SUSAN L. FREY
DEPARTMENTAL RECORDS OFFICER, IM-11

SUBJECT: RM 02-06, SCHEDULE REVIEW
TEAM

Many of the Department's Records Managers have indicated they have concerns regarding the recently approved Administrative Disposition Schedules. The Savannah River Operations Office has volunteered to lead a team to review the schedules. Their intent is to ensure that the new schedules are complete and correct.

A copy of the team's charter is attached. The team will identify problem areas and, if appropriate, provide recommendations on how the schedules can be improved. Representatives from Headquarters, Oak Ridge and Idaho Operations Offices will participate. The project is expected to begin in early January and completion is anticipated by the end of April.

If you have concerns about the Administrative Schedules that have not yet been addressed by Headquarters, please refer them to Dot Green at dorothy-m.green@srs.gov. Please forward your items no later than January 29, 2002.

Attachment

Charter for Records Schedule Review Team

Lead/Contact: The team will be led by the Savannah River Operations Office and a lead point of contact established. Support will be provided by Team members.

Members: The team will consist of representatives from Savannah River, Idaho, and Oak Ridge Operations Offices and the Headquarters Records Management Division. Additional Field representation and size of team will be determined by Savannah River.

Goal: To ensure that DOE's Records Schedules are complete and consistent.

Objectives: Review DOE's Disposition Schedules to determine:

- all appropriate series from the DOERS were included in the Administrative Schedules;
- disposition instructions for records series from the DOERS are stated correctly in the Administrative Schedules;
- records series contained in the Administrative Schedules are not duplicated or contradicted elsewhere in the Schedules; and
- records schedules as presented can be implemented.

Scope: Administrative Records Schedules only

Product: A listing of:

- records series from the DOERS that were not included in the Administrative Schedules;
- questionable or incorrect records disposition instructions; and
- schedule items that require further work and the reason(s).

Begin Date: January 8, 2002

End Date: April 26, 2002 (Extensions negotiable.)

Consolidated Issues Matrix

Item No.	Admin No.	DOERS No.	GRS No.	NARA APP.No.	SF115 /other	Issues/Comments	Site ID	Generic Issue #
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)

Matrix Form Explanations:

- 1) **Item No.** – To enhance reference capability, we are going to sequentially number each identified issue/comment.
- 2) **Admin No.** – Number as it appears in the DOE Administration Record Schedules. (format: 1-1.6.b, 17-3.7)
- 3) **DOERS No.** - Number as it appears in the DOE Record Schedules. (format:2-15.b, 14-6.b(1))
- 4) **GRS No.** - Number as it appears in the General Record Schedules. (format: 1-36.d(2), 2-15.b)
- 5) **NARA Approval No.** – The NARA reference number as it appears on correlated approved schedules.
- 6) **SF115** – Secondary SF115 approval number. These are entered where there is conflicting information about what is accepted as having NARA approval.
- 7) **Issues/Comments** – The textual identification of the question or concern with the referenced Schedules.
- 8) **Site ID** – Site code identifying contributing DOE Site(s) to the issue(s).
- 9) **Generic Issue #** – A cross-reference number used to relate an item to a generic issue and facilitate grouping of items.

Attachment B

Consolidated Issues Matrix

Item No.	Admin No.	Section No.	DOERS No.	GRS No.	NARA APP.No.	SF115 /other	Issues/Comments	Site ID	Generic Issue #
1.	01						Handwritten note by JD	RL	1
2.	01	01		1-1		434-98-4	Last sentence in header, "See Item 1.1 for contractor personnel files." Not in GRS and unapproved in 434-98-4. Missing note on OPFs from GRS. (Is editorial license okay?)	SR	1
3.	01	01					Title added "of Federal Employees"	RL	3H
4.	01	01.1					DOE Records Management Web Site Update #08 made the following changes to Record Schedules: "Admin 1-1.1 - Corrected reference from N1-434-89-1 to N1-434-98-1", however, the 02-11-2002 version of this schedule still reflects "N1-434-89-1".	OH	
5.	01	01.1					Cutoff instructions changed to exclude 1 cu ft increments	RL	2
6.	01	01.21.1a					Indentation of paragraph is incorrect.	INVOPS	7
7.	01	02					Second sentence in NOTE was added.	RL	1
8.	01	02.a		1-2.a		434-98-4	Unapproved change (1-2.a deleted per 434-98-4)	SR	3H
9.	01	03.1					Cutoff instructions added...or at contractors option.	RL	2
10.	01	04.b		1-4.b	434-98-4		Addition of "For Federal Employment" Unapproved change.	SR	3H
11.	01	06		1-6	434-98-4		Missing "(Exception to GRS 1, Item 6)"	SR	1
12.	01	06					Second sentence in NOTE was added	RL	1
13.	01	07		1-7	434-98-4		Missing "Federal Employees" and (Exception to GRS 1, Item 7)	SR QAK	1 3H
14.	01	07					Title added "Federal Employees"	RL	3H
15.	01	07.1			434-89-1		Unapproved change (header and retention)	SR	3
16.	01	07.1					Add (Exception to N1-434-98-1)	RL	7
17.	01	07.a.(1)					Cutoff instructions added word "determined".	RL	3R
18.	01	07.b			434-98-4		Need retention to reference N1-434-98-4	SR	4
19.	01	10		1-10		434-98-4	Unapproved change (header and retention, a. revised and b. omitted) Was 1-10.b from the GRS (INS Form retention) intentionally left out? Not Approved - Retention cited does not match	SR OAK ORO	3
20.	01	11		1-11		434-98-4	Unapproved change ("Federal" added to header and comment added	SR	3H

Item No.	Admin No.	Section No.	DOERS No.	GRS No.	NARA APP.No.	SF115 /other	Issues/Comments	Site ID	Generic Issue #
							to "NOTE")		
21.	01	12					The item is shown as a "2" not "12".	NVOPS	7
22.	01	12.a		1-12		434-98-4	Unapproved change (header)	SR	3H
23.	01	12.a(1)		1-12		434-98-4	Unapproved change (Item 1)	SR	3H
24.	01	12.b		1-12		434-98-4	Unapproved change (added sentence)	SR	3H
25.	01	12.d		1-12		434-98-4	Unapproved change ("NOTE" altered)	SR	1
26.	01	14		1-14		434-98-4	Unapproved change (header)	SR	3H
27.	01	14					The period is missing after the 14.	NVOPS	7
28.	01	15		1-15		434-98-4	Unapproved change (Retention)	SR	3R
29.	01	15					Description was modified to make generic.	RL	
30.	01	17		1-17		434-98-4	Unapproved change (header)	SR	3H
31.	01	18		1-18		434-98-4	Unapproved change (header and a. and b.)	SR	3H
32.	01	20.1		1-20.1	434-98-4		Header should reference N1-434-98-4	SR	4
33.	01	20.1					The breakdowns after Item 20.1 are listed as "1" and "2" and they should be "a" and "b".	NVOPS	7
34.	01	20.1					Title added "Contractor"	RL	3H
35.	01	20.1(a)		1-20.1(a)		434-98-4	Need retention to reference N1-434-89-1(4c)	SR	4
36.	01	20.a		1-20.a		434-98-4	Need retention to reference GRS 1-20.a	SR	4
37.	01	20.b		1-20.b	434-98-4		Need retention to reference N1-434-98-4	SR	4
38.	01	21		1-21	434-98-4		Header approved by 434-98-4 not reflected in Admin header, needs to reference 434-98-4	SR OAK	3H, 4
39.	01	21					Title added "Federal"	RL	3H
40.	01	21.1			434-98-4	434-89-1	Header needs to reference the N1-434-98-4 DOE Records Management Web Site Update #08 and DOE Records Disposition Schedule Changes dated 03/01/01 made the following changes to Record Schedules: "Admin 1-21.1 - Corrected reference from N1-434-89-1 (4.a,b) to N1-434-98-1 (4.a,b)" - however the 02-11-2002 version of this schedule still reflects N1-434-89-1 (4a,b).	SR OH	4
41.	01	21.1(a)			434-89-1	434-98-4	Need to reference N1-434-89-1. Minor change in header and retention unapproved. Typo at end of a. citation.	SR	4, 3 6
42.	01	21.2			434-98-4		Header needs to reference N1-434-98-4, a b and c need to reference NC1-430-76-9(5)	SR	4

Item No.	Admin No.	Section No.	DOERS No.	GRS No.	NARA APP.No.	SF115 /other	Issues/Comments	Site ID	Generic Issue #
43.	01	21.2(c)			430-76-9(5)	434-98-4	Unapproved change (retention added fiscal year cutoff)	SR	2
44.	01	21.2(d)			434-98-4		Header needs to reference 434-98-4	SR	4
45.	01	21.2(d).1			430-76-9(5)	434-98-4	Needs to reference NC1-430-76-9(5). Retention added fiscal year cutoff. Need to find out if this is considered editorial and acceptable as unapproved change (occurs throughout the schedule).	SR	2, 4
46.	01	21.2(d).2			434-98-4		Retention needs to reference 434-98-4. (What does "addition to NC1-430-76-9(5)" mean? Is this correct?)	SR	4
47.	01	21.2.a					Cutoff-added second sentence. Third sentence first word was changed from offer to transfer.	RL	3R
48.	01	21.3					Reference DOERS 1.5 434-98-4 "this series" first sentence added	RL	2
49.	01	21.3(a)			430-76-9(4)		"Personnel Exposure Dose Records" does not have retention assigned, at least here in this part of the schedule.	SR	
50.	01	21.3(a)			430-76-9(4)		a(1), a(2), Unapproved change (retention added fiscal year cutoff)	SR	2
51.	01	21.3(a).3			430-76-9(4)		Unapproved change (retention added "or after") This confuses the required retention.	SR	3R
52.	01	21.3(b).1			430-76-9(4)		Unapproved change (retention)	SR	3R
53.	01	21.3(b).2			430-76-9(4)		Unapproved change (retention added "or after") This confuses the required retention.	SR	3R
54.	01	21.3(c)			430-76-9(4)		Unapproved change (retention added fiscal year cutoff)	SR	2
55.	01	21.3(e)			434-98-4		Approved 434-98-4 deletes retention for e. needs to reference 434-98-4 (Was intent to delete retention for e?) Recorder chart records of radiation and contamination... There is a disposition authority "Destroy when purpose is served or when 3 months old, whichever is earlier" listed; but then 21.3(e) further breaks down into categories of (1) and (2) records. What is the disposition authority referring to?	SR OH	4 3R
56.	01	21.3(e).2			430-76-9(4)		Unapproved change (added the word "all" to item) Needs to reference 430-76-9(4)	SR	4
57.	01	21.3(g)			430-76-9(1)		Needs to reference NC1-430-76-9(1)	SR	4
58.	01	21.3(g).1			430-76-9(1)		Item b has typo in retention reference	SR	6
59.	01	21.3(g).2			430-76-9(1)		Unapproved change (duplicate per reference to N1-434-98-4(21.3e), .3.e(1) actual retention. Relationship between DOERS items 1-7.b and Admin items 1-21.3(g)(2) and 1-21.3(e) is convoluted. Need to	SR	3

Item No.	Admin No.	Section No.	DOERS No.	GRS No.	NARA APP.No.	SF115 /other	Issues/Comments	Site ID	Generic Issue #
							clarify reference to "See Item 6a this schedule". Is there another reference that needs to replace Item 6a?		
60.	01	21.3.a (1)					Cutoff-added cutoff instructions	RL	2
61.	01	21.3.a (2)					Cutoff-added cutoff instructions	RL	2
62.	01	21.3.a (3)					Description "film badges" was deleted	RL	3H
63.	01	21.3.e (1)					Cutoff instructions new	RL	2
64.	01	21.3.f					Cutoff instructions added On matrix there is a reference to adm 21.3.g (not in our copy)	RL	2
65.	01	21.3.g(1) 21.3.g(2)	1-7.a(1)(2)		NC1-430-76-9(1)	434-98-4 X-Walk	Change the reference of 21.3.g(2) to (a&b). So DOE Administrative reference should read "DOE Admin 1, Items 21.3.g(1)(a&b).	INEEL	9
66.	01	21.3.g(2)	1-7.b			X-Walk	DOERS 1-7.b was changed to reference A1-21.3.g(2), which is correct. However, the NARA Case number still references A1-21.3-e with a NARA approved number of N1-434-98-4. Is the NARA Case Number still applicable?	INEEL	9
67.	01	21.4					Unapproved change (cutoff end of fiscal year)	SR	2
68.	01	21.4					Reference DOERS 1.6 On matrix there is a reference to something below 21.4 (not in our copy)	RL	
69.	01	21.4(d).1					Unapproved change (need to delete Item 1 and renumber)	SR	3
70.	01	21.5			434-96-4		Unapproved change? (need to see N1-434-96-4)	SR	3
71.	01	21.5					NOTE missing	RL	
72.	01	21.a(1)		1-21.a(1)	434-98-4		Need to reference GRS 1-21.a(1)	SR	4
73.	01	21.a(2)		1-21.a(2)	434-98-4		Unapproved change (retention)	SR	3R
74.	01	21.c		1-21.c	434-98-4		Unapproved change (header and retention), missing NOTE from GRS. Need to reference GRS 1-21.c	SR	3
75.	01	21.c					Typo - The word "Cast" should be "Case".	INEEL OH	6
76.	01	21.c					Description added "to a FRC" cutoff added "FRC" note was deleted	RL	2, 1
77.	01	21.d			434-01-1		Need to verify N1-434-01-1	SR	
78.	01	22					NOTE missing	RL	1
79.	01	23.3(a)					Unapproved change (retention added "or when no longer needed, whichever is sooner")	SR	3R

Item No.	Admin No.	Section No.	DOERS No.	GRS No.	NARA APP.No.	SF115 /other	Issues/Comments	Site ID	Generic Issue #
80.	01	23.5					Unapproved change (retention added "or when no longer needed, whichever is sooner")	SR	3R
81.	01	23.a(3)(b)					Cutoff changed	RL	2
82.	01	23.a(5)(b)					Cutoff changed	RL	2
83.	01	23.b(2).b		1-23	434-98-4		Unapproved change (retention added "or when no longer needed, whichever is sooner")	SR	3R
84.	01	23.b(4)		1-23	434-98-4		Unapproved change (retention added "or when no longer needed, whichever is sooner"). Missing NOTE from GRS.	SR	3R
85.	01	23.b(4)					Note missing	RL	1
86.	01	24.a					24.a (1) and (2) In the retention period, change the word "that" to "those".	INEEL	6
87.	01	24.a(1)					Description, SF278 was SF278a	RL	
88.	01	24.b		1-24.b			Missing NOTE from GRS.	SR	1
89.	01	24.b					In the retention period, change the word "that" to "those".	INEEL	6
90.	01	25.f		1-25.f			Unapproved change ("NOTE" altered)	SR	1
91.	01	26.b		1-26.b			Unapproved change (Description missing "Records created in planning,, etc.") Alcohol and Drug Abuse Program. GRS 1-26.b has more complete description – "Records created in planning, coordinating, and directing an alcohol and drug abuse program."	SR ORO	3H
92.	01	28					Title added, Federal	RL	3H
93.	01	28.1			434-98-4		Need to correct reference at header (change to N1-434-98-4). Space needed between description and retention.	SR	4
94.	01	29		1-29	434-98-4		Header should reference the 434-98-4. (Added "Federal Employee"). Missing Exclusion note under header. (WSRC has used GRS 1-29 for contractor records. Retrofit required?)	SR	4
95.	01	29					There is no citation for employee training records that do NOT deal with hazardous materials, i.e. computer training, etc. Are these no longer to be separated from other training records?	ORO	
96.	01	29.1			434-98-4	434-88-1	Header needs to reference 434-98-4 or should have been crossed out on SF-115. Should header reference both? WSRC challenges the schedule item in its entirety. Scoping of contents of individual training folders to this level of detail is not practical. Also, 1-29.1(a) restricts	SR	

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							contents to ONLY those items listed which is not practical. Breakout of item 1-29.1(b) is not practical. WSRC challenges destruction instructions given for item 29.a(4) in both retention cases.		
97.	01	29.1(a)					Make bulleted items into numbers (1-4) since the retention period references 29.1(a)(4).	INEEL	7
98.	01	29.1(b)			434-98-4	434-88-1	Unapproved change (reference to Item 29.1(a)(4) in header is incorrect, should be Item 1. Header and retention needs to reference 434-88-1. (88-1 retention shows shipments to FRC in 1 cubic foot increments, is this a problem?)	SR	4
99.	01	29.2			434-98-4	434-88-1	Unapproved change (entire item changed from what was approved on 434-88-1 to what was not approved on 434-98-4.) Also, 29.2(a)(3) should not be approved, not cost effective to ship to FRC for 2 years retention.	SR	3
100.	01	29.2.d					NOTE missing	RL	1
101.	01	29.a					Title added, Federal	RL	3H
102.	01	29.a(2)					Missing the parentheses [()] before the 2.	NVOPS	7
103.	01	29.b		1-29.b	434-98-4		Strongly disagree with retention of 75 years requested as a change from the GRS retention of 5 years.	SR	
104.	01	29.b					NOTE missing	RL	1
105.	01	30		1-30	434-98-4		Unapproved change (retentions on a. and b.) Missing NOTE from GRS.	SR	3R
106.	01	35.b(2)					Indentation of paragraph is incorrect.	NVOPS OH	7
107.	01	36		1-36	434-98-4		Header needs to reference 434-98-4. Is approval of 434-98-4 intended to delete second paragraph in GRS ("This authorization does not apply...etc")?	SR	4
108.	01	36.a		1-36.a	434-98-4		Unapproved change (retention)	SR	3R
109.	01	36.a					Description excluded the oversight pp-	RL	
110.	01	36.e		1-36.e	434-98-4		Unapproved change (NOTE 1 after Item 36.e reflects an unapproved change identified against 1-30.b)	SR	3
111.	01	36.e(1)		1-36.e(1)(b)			(1) Positive Results GRS 1-36.e(1)(b) Applicants not accepted – Admin 1-36 does not give such guidance for “no hires” – should this be included?	ORO	
112.	01	37		1-37	434-98-4		Unapproved change (retention)	SR	3R

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113.	01	41		1-41	434-98-4		Unapproved change (header and retention) Federal Pay Comparability Records, "Destroy after 3 subsequent reports have been filed." As submitted in SF-115. SF-115 submitted retention was marked through by NARA as "not approved" and not included on Job No. N1-434-98-4. Should we use GRS 1-41 retention, "Destroy 3 yrs. following the date of approval or upon completion of the relevant service agreement, whichever is later"?	SR ORO	3
114.	01	42					In the INEEL's original Draft Administrative Schedules, we requested a "10-year" retention. Why was it changed to 4 years?	INEEL	
115.	01	42		1-42 (a)(b) and (c)			a, b and c. Alternate worksite records. These records are not included in the DOE Administrative Schedules anywhere.	INEEL	
116.	01	42.b		1-25.a	434-98-4		Unapproved change (retention entry for b. not approved on 434-98-4 entire item should be deleted)	SR	3R
117.	01	51					The period after the Item 51 is missing.	NVOPS	7
118.	01	55			434-98-4		Need clarification of "record set" and record series. Would this mean printing an electronic snapshot of the employee directory maintained in an e-mail system, for instance, and maintaining each output for 75 years?	SR	
119.	02				434-98-5		Introduction – 2 nd paragraph, should read "Departmental"; 3 rd paragraph should read "posted"	SR	6
120.	02	01.b		2-1.b			Header: GRS states "individual"	SR	3H
121.	02	08		2-8			Header: does not match GRS	SR	3H
122.	02	09.a		2-9.a			(OPF) missing from retention description	SR	6
123.	02	13.a		2-13.a			Spell out Internal Revenue Service	SR	7
124.	02	13.b		2-13.b			Header does not match GRS – has extra period following	SR	3H
125.	02	13.c		2-13.c			Header does not match GRS – has extra period following	SR	3H
126.	02	14.a		2-14.a			Header does not match GRS	SR	3H
127.	02	22.b		2-22.b			Header – "agency" not "department"	SR	5
128.	02	22.c		2-22.c			Header – "agency" not "department"	SR	5
129.	02	23		2-23			Header – does not match	SR	3H
130.	02	29		2-29			Item was Reserved, now exists as A2-29 E-mail/Word Processing Files. Concern that this schedule was Reserved for something other than e-mail/word processing files.	INEEL	7

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131.	02	29.a			434-98-5		Header – word “is” missing on first line	SR	6
132.	02	30		2-30			Reserved. No longer exists in the DOE Administrative Schedules.	INEEL	7
133.	03						Introduction – 6 th paragraph, word “their” omitted	SR	6
134.	03						There is no page number on the first page of this schedule. Needs to be uniform with the rest of the schedules.	NVOPS	7
135.	03	03					Highlighting should be removed on 3.a(1)(b).	NVOPS	7
136.	03	03.1			434-98-6		Header: NN reference deleted on N1	SR	4
137.	03	03.1.a			434-98-6		Header – should read “cases”	SR	6
138.	03	03.2			434-98-6		Header: NN reference deleted on N1 Unapproved change (Header)	SR OAK	4 3H
139.	03	03.a					Need to show actual dollar amount?	OH	
140.	03	03.a note		3-3.a note			Missing final bracket	SR	7
141.	03	03.a(1).b		3-3.a.1(b)			Header – “at or” missing before contracts; this section underlined and highlighted----why?	SR	6
142.	03	03.d note		3-3.d note			Does not match GRS	SR	3
143.	03	04		3-4			Header: Does not match GRS	SR	3H
144.	03	05.b(2).1		3-5.b(2).a			This item is shown as Item 5.b(2)(1). The (1) should be (a).	NVOPSS R	6
145.	03	05.c		3-5.c			Header – parenthesis missing after “quotations”	SR	7
146.	03	07		3-7			Header references unapproved DOE/ADM schedule 6	SR	4
147.	03	09.a		3-9.a			Retention – unapproved change	SR	3R
148.	03	09.b		3-9.b			Retention – word “or” not in GRS	SR	6
149.	03	10					Telephone Records – states the retention period is 3 years for these records. Why is this in the Admin 3 also?	DOE-HQ	
150.	03	14		3-14			Header – no reference to note	SR	1
151.	03	14 note		3-14 Note			Note – unapproved change from GRS	SR	1
152.	03	16		3-16			Header – unapproved change from GRS	SR	3H
153.	04			4			Introduction – paragraphs a and b differ from GRS; paragraph 4 has unapproved change Headers – spacing between header and retention missing in several places; references should be consistent—either following headers or following retentions	SR	3 7 4
154.	04						The item numbers and descriptions should be bolded throughout this schedule. Needs to be uniform with the rest of the schedules. Also,	NVOPS	7

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							there are no page numbers as found in the other schedules. A space needs to be inserted between Item 4 and Item 5.		
155.	04	03.d					Terminology has changed from "Excess real property" to "Disposal of surplus real..." Suggest changing the current description to "Case files on disposal of surplus/excess real and related personal property".	INEEL	
156.	05	01	10	5-1			Title incorrectly references GRS	SR	4
157.	05	01.a 01.b	10	5-1			Needs reference to DOERS 10	SR	4
158.	05	01.a					Budget Policy Files PERMANENT retention. This item is not in GRS 5 or N1-434-98-8 (SF-115). Where is approval reference? Do we continue to use NC1-430-76-8?	ORO	3, 4
159.	05	02					Retention was "6 years", now "1 year" why was this changed?	INEEL	
160.	05	04.1(a&b)	10-2		N1-434-98-8	X-Walk	Remove the "(a & 4.1b)" from the DOE Administrative reference. Keep it at the higher level of "Item 4.1".	INEEL	9
161.	05	04.1(a)&(b)			434-98-8		Retention – "Cut off...." is first statement	SR	7
162.	05	04.1-c					Duplicate to Administrative schedule 5, Item 5: E-mail/Word Processing files.	INEEL	4
163.	05	05			434-98-8		Number should be 4-1.c; header and retention also differs from approved schedule Electronic Mail and Word Processing System Copies – Description is not the same as in N1-434-98-8	SR OAK ORO	3
164.	05	06	8			NNA-340	Title should read "Priorities"	SR	6
165.	05	06(a&b)	8-2		II NNA-340	X-Walk	Remove the "(a&b)" from both the DOERS Item Number and the DOE Administrative reference.	INEEL	9
166.	05	07	8			NCI-430-77-3	Header – should be "initiation"	SR	6
167.	05	preamb.			434-98-8		Introduction – 1 st and 4 th paragraphs differ from approved schedule; 3 rd and 5 th paragraphs are not in approved schedule;	SR OAK	8
168.	06				434-98-9		Introduction – 3 rd paragraph, should be "departmental"; "regulations"; "forms"; 4 th paragraph should be "creation"	SR	6
169.	06	01		6-1			Title: missing note phrase	SR	1
170.	06	01.a		6-1.a			Header – unapproved changes (e.g. department for agency; accounting system information..)	SR	5

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171.	06	01.a		6-1.a			Forms list has incorrect spacing on several items	SR	7
172.	06	01.b note		6-1.b note			Typo - Forth should be "for the"	SR	6
173.	06	02		6-2			Header – unapproved changes	SR	3H
174.	06	11		6-11			Header – unapproved changes	SR	3H
175.	07						The item numbers and descriptions should be bolded throughout this schedule. Needs to be uniform with the rest of the schedules. Also, there are no page numbers as found in the other schedules.	NVOPS	7
176.	08						The item numbers and descriptions should be bolded throughout this schedule. Needs to be uniform with the rest of the schedules. Also, there are no page numbers as found in the other schedules.	NVOPS	7
177.	09	01.1					Foreign Travel Authorizations – Both "a" and "b" have the same retention periods. In the INEEL's original Draft Administrative Schedules, we requested a 6-year and 2-year retention period respectively. Why were these changed?	INEEL	
178.	09	01.b		9-1.b			Header – unapproved changes	SR	3H
179.	09	01.c		9-1.c			Header – unapproved changes	SR	3H
180.	09	05 note		9-5 note			Note – unapproved changes	SR	1
181.	09	06		9-6 (a) and (b)			(a and b) Non-federally funded travel. No longer exists in the DOE Administrative Schedules. (a and b) E-mail and word processing system copies. Now falls under Administrative Schedule 9, Item 6 (a & b), which was used for Non- federally funded travel.	INEEL	
182.	09	06.b			434-98-12		Retention – unapproved changes	SR	3R
183.	09	07		9-7			Federal employee transportation subsidy records. No longer exists in the DOE Administrative Schedules.	INEEL	
184.	09	preamb.			434-98-12		Introduction – DOE; GRS references not in approved schedule	SR	4, 8
185.	10						The item numbers and descriptions should be bolded throughout this schedule. Needs to be uniform with the rest of the schedules. Also, there are no page numbers as found in the other schedules.	NVOPS	7
186.	11				434-98-14		Introduction – 1 st paragraph substitute dept for agency, dele GSA	SR	5
187.	11	02.a			434-98-14		Header – should be "departmental"; sub dept for agency	SR	5
188.	11	02.b		11-2.b			Header – unapproved changes	SR	3H
189.	11	02.b(1)		11-2.g(1)			Header – unapproved changes	SR	3H
190.	11	04.a		11-4.a			Header – substitute "agency" for dept	SR	5

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191.	11	06		11-6	434-98-14		References 434-98-14; should reference GRS 11-6	SR	4
192.	11	06.a		11-6.a			Header – “is” omitted on 1 st line (if GRS is reference)	SR	6
193.	11	06.a		11-6.a			Electronic Mail and Word Processing System – Should this be same as in GRS? Admin 11-6 appears incomplete and with no retention/disposition.	ORO	
194.	11	06.b		11-6.b			Electronic Mail and Word Processing System – Should this be same as in GRS? Admin 11-6 appears incomplete and with no retention/disposition.	ORO	
195.	12				434-98-15		Introduction – delete “agency copies of”	SR	6
196.	12	03		12-3			Title – reference to note missing	SR	1
197.	12	03 note		12-3 note			Omitted	SR	1
198.	12	03.1			434-98-15		Header – unapproved changes Description is different from the one in SF-115 approved by NARA. Should we use description attached to N1-434-98-15? It is more complete.	SR ORO	3H
199.	12	03.b		12-3.b			Header – “standard form” omitted	SR	1
200.	12	04		12-4	434-98-15		Titled Telephone Use Records but the text says RESERVED and references GRS 12-4. GRS 12-4 states to keep them 3 years. Looked at the approved Admin 12-4 and find it says RESERVED. The question is, what is the DOE retention? Assumption is that when the DOE Admins were prepared, Item 4 had not been settled yet and we submitted the Admin anyway. Then when the Admin was approved, we and NARA did not catch that a GRS item had been added to the GRS for this item. In the GRS, Schedule 12, Item 4 was used for telephone use records. Why is this now Reserved? Incorrect reference to GRS or change unapproved	DOE-HQ INEEL SR	3 7 4
201.	12	05		12-5			Header – unapproved changes	SR	3H
202.	12	06.h			434-98-15		Locator cards, directories, indexes and other records relating to mail delivery to individuals. The retention in the schedules on the CIO	RFFO	3

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							page is: Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable. The retention on the SF-115 signed by John Carlin is: Place record in inactive file upon separation or transfer of individual or when obsolete. Cut off inactive file annually. Destroy 75 years after cutoff.	OAK	
203.	12	07		12-7			Admin " <i>Penalty</i> Mail Reports"; GRS " <i>Metered</i> Mail Reports". NARA marked out 12-7 on the SF-115 attachment. Which do we use?	ORO SR	3
204.	13						The item numbers and descriptions should be bolded throughout this schedule. Needs to be uniform with the rest of the schedules. Also, there are no page numbers as found in the other schedules.	NVOPS	7
205.	14			14	434-98-17		Generic issue: The reference in the admin schedule only references back to the NARA approval number, and not the DOERS number. Shipments have been made to FRC with only the DOERS number identified. Is this a potential problem?	SR	4
206.	14			14	434-98-17		Preamble should reference N1-434-98-17 at the end. Does the statement "All records described in this schedule are authorized for disposal in both hard copy.....etc." conflict with item 14-43? Preamble does not incorporate any language from DOERS 7 about "Legal Records". Isn't this why DOERS 7 existed in the first place?	SR	8
207.	14	06		14-6	434-98-17		Unapproved change (Generic change from "agency" to "department" throughout the schedule)	SR	5
208.	14	21		14-21	434-98-17		5 U.S.C. 52a(d)(1) should read 5 U.S.C. 552a(d)(1) per GRS.	SR	6
209.	14	25		14-25	434-98-17		Generic issue: Reference to note and note deleted. The note is not applicable to DOE, is this omission acceptable?	SR	1
210.	14	31		14-31	434-98-17		Exec. Order No. requires updating and should be generic reference as is method used in GRS 14-35, "the current executive order".	SR	7
211.	14	32		14-32	434-98-17		Exec. Order No. requires updating and should be generic reference as is method used in GRS 14-35, "the current executive order".	SR	7
212.	14	34		14-34	434-98-17		Unapproved change (Header)	SR	3H
213.	14	35		14-35	434-98-17		Unapproved change (Header)	SR	3H
214.	14	37					Reserved, why?	RL	7
215.	14	38					Reserved, why?	RL	7
216.	14	39					Reserved, why?	RL	7
217.	14	40					Reserved, why?	RL	7

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218.	14	44					From web version of the adm 14	RL	
219.	14	45					From the web version of the adm 14	RL	
220.	14	45.a					Why is there an "a" when there is no "b"? Is "b" missing? "Field" in description typo, should be "filed"	ORO NVOPS	6 7
221.	14	46					From web version of the adm 14	RL	
222.	14	47					From web version of the adm 14	RL	
223.	14	48					From web version of the adm 14	RL	
224.	14	49					From web version of the adm 14	RL	
225.	14	50					From web version of the adm 14	RL	
226.	14	51					From web version of the adm 14	RL	
227.	14	51.b					NCI-434 Isn't the correct NARA Job No. NC1 ?	ORO	6
228.	14	51.c					NCI-434 Isn't the correct NARA Job No. NC1 ?	ORO	6
229.	14	52	7-9				Incorrect NARA approval numbers are referenced for retention items 14-52 a. through e. (per the DOERS)	SR	4
230.	14	52					NCI-434 Isn't the correct NARA Job No. NC1 ?	ORO	6
231.	14	52					From web version of the adm 14	RL	
232.	14	53					From web version of the adm 14	RL	
233.	14	54					From web version of the adm 14	RL	
234.	14	55					From web version of the adm 14	RL	
235.	14	TOC					Added items 43-55 not on TOC On GRS 14 last sentence is 2pp#3 deleted in the adm. Why was the handwritten note from JD added?	RL	1, 3H
236.	15						The item numbers and descriptions should be bolded throughout this schedule. Needs to be uniform with the rest of the schedules. Also, there are no page numbers as found in the other schedules.	NVOPS	7
237.	16						The 2-5 pp introduction has been re-worded. The word "preliminary" has been added in pp 4, last sentence.	RL	3H
238.	16	01		16-1.1	434-98-19		Unapproved change (note from GRS is missing) relevance?	SR	1
239.	16	01.6					Wouldn't these be considered a non-record or covered elsewhere (i.e. covered in A16-1.1(a or b)? All Other Copies of Administrative Issuances disposition authority typo. Change "need" to "needed".	INEEL OH	4 6
240.	16	02.a		16-2.a		434-98-	Unapproved change (entire section a. & b.)	SR	3

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241.	16	02.a		16-2.a		19 434-98-19	Disposition cited was marked out by NARA on SF-115 submitted. N1-434-98-19. Should disposition remain, "destroy 2 yrs. after supersession" as in GRS? In GRS the citations are 2.a(1) SF-115s that have been approved by NARA and also 2.a(2) Other Records. Is the DOE combining these citations? Do we have an approved SF-115 for a new retention?	ORO	3
242.	16	02.b			434-98-19		Disposition cited was marked out by NARA on SF-115 submitted. N1-434-98-19. Should disposition remain, "Destroy 6 years after the related records are transferred to the Nat'l Archives of the US., whichever is applicable."	ORO	3
243.	16	03.a					Indent destruction information.	NVOPS	7
244.	16	03.a					Description added Department or Contractor from agency.	RL	
245.	16	04					Description added Department. Added Department from agency.	RL	5
246.	16	06					Changed word agency to department	RL	5
247.	16	07		16-7		434-98-19	Unapproved change (retention) Last sentence in disposition, "Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference" is not in GRS nor in the approved SF-115 N1-434-98-19." Should disposition remain only, "Destroy when 6 years old?"	SR ORO	3R
248.	16	07					Changed word agency to department	RL	5
249.	16	08		16-8			Committee and Conference Files. No mention is made to conference records other than in the titles.	FERMI	
250.	16	08.b(1)					After this item there is a (1.1) and (1.2). Is this indicating new items or should this read (a) and (b)?	NVOPS	7
251.	16	08.b(1)					NOTE missing Cutoff "or when no longer needed for reference, which ever is sooner" was added.	RL	1, 2
252.	16	08.b(1.1)			434-98-19		Last sentence in parenthesis cites 41 CFR, Section 101-6.2003. Correct CFR Section is 101-6.1 as on SF-115 Unapproved change (NARA approved 101-6.1003, schedule has 101-	ORO SR	6

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							6.2003) need to verify correct reference.		
253.	16	08.b(2)					NOTE missing Cutoff "or when no longer needed for reference, which ever is sooner" was added.	RL	1, 2
254.	16	08.c					Agency was replaced by Department. NOTE is missing	RL	1, 5
255.	16	08.d					Addition to Admin. Schedule 16-8 Committee and Conference Files, items d(1), (2) and (3) with subitems was published in 2001 – it is not included in the most recent Schedule 16. Has the 16-8.d been removed or is it pending NARA approval on SF-115?	ORO	
256.	16	10.a		16-10.a		434-98-19	Omitted note reference from header.	SR	1
257.	16	10.b		16-10.b		434-98-19	Unapproved change (retention) Disposition cited was marked out by NARA on SF-115 submitted. N1-434-98-19. Should disposition remain, "Destroy when 2 years old or when superseded, whichever is later," as in GRS?	SR ORO	3R
258.	16	13					NOTE missing from header. NOTE reworded after cutoff.	RL	1, 2
259.	16	14					Reference to OMB Circular A-123 title changed to Management Control Systems	RL	3H
260.	16	14.a					Agency was replaced by Department in description.	RL	5
261.	16	14.d		16-14.d		434-98-19	Unapproved change (header and note – change from "agency" to "department" in header affects the meaning in this case.)	SR	5
262.	16	14.e					New retention now – destroy when no longer needed. Was destroy 1 year after report is completed.	RL	3R
263.	16	14.f					NOTE missing after title.	RL	1
264.	16	preamb.			434-98-19		Should reference N1-434-98-19 at end of preamble.	SR	8
265.	17	01		17-1		434-98-20	Unapproved change (retention – omitted "for revision") Retention abbreviated to "Destroy when no longer needed." Should it be "Destroy when no longer needed <i>for revisions.</i> " as in GRS?	SR ORO	3R
266.	17	02		17-2		434-98-20	Unapproved change (entire section)	SR	3

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							DOE Administrative Schedule 17, Item 2 (a & b) is now described as "vertical and oblique aerial photography". In the GRS it was a Reserved item. Is this item being used for the same records as those that were Reserved previously?	INEEL	
267.	17	02.a			434-98-20		"Reserved" in GRS. NARA marked through on SF-115 N1-434-98-20 as not approved. Are these considered "non-record" and thus need no NARA approval?	ORO	3
268.	17	02.b			434-98-20		"Reserved" in GRS. NARA marked through on SF-115 N1-434-98-20 as not approved. Are these considered "nonrecord" and thus need no NARA approval?	ORO	3
269.	17	06.b				434-98-20	Unapproved change (header and retention) Mixed new header with old retention from GRS.	SR	3
270.	17	07				434-98-20	Unapproved change (entire section) "Reserved" in GRS. NARA marked through on SF-115 N1-434-98-20 as not approved. If these are "nonrecords", as noted, why is the statement in retention, " <i>or when 10 years old, whichever is sooner</i> " included" Also, why the need for NARA approval to donate if they are nonrecord? DOE Administrative Schedule 17, Item 7 is now described as "Architectural models". In the GRS it was a Reserved item. Is this item being used for the same records as those that were Reserved previously?	SR ORO INEEL	3
271.	17	11		17-11		434-98-20	Unapproved change (entire section) This is an old carryover item and needs to be updated and resubmitted. NARA marked SF-115 N1-434-98-20 and noted "NA". Do we need NARA approval to use this?	SR ORO	3
272.	17	12.d	1-10.d				(See item 4, below). Should that read (see item e, below) as in DOERS 1-10.d?	ORO	6
273.	17	12.n	1-10.n		NC1-430-76-4(n)		Reference II-NNA-1595(m) does not agree with DOERS reference NC1-430-76-4(n).	SR	4
274.	17	13.e	1-12.e		II NNA-2144		Typo – "color" should be "solar"	SR	6

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275.	17	16.b	2-3.b		II NNA-2838(1)		Typo – “NN1” should be “NNA” per DOERS reference.	SR	6
276.	17	17.e	2-4.e		II NNA-675(4)		Need to change “see item 7b” at end of header to “see item 17.b”.	SR	7
277.	17	18.d	2-5.d		II NNA-2252(2)		Typo – “NN1” should be “NNA” per DOERS reference.	SR	6
278.	17	19	2-6				Item 2-6.c reserved in DOERS, omitted in Admin. 17-19. ???	SR	7
279.	17	19.c					Was reserved under DOERS 2, item 6.c. Need to	INEEL	
280.	17	20	2-7				Header in Admin. is incomplete per DOERS item.	SR	3H
281.	17	20.c(4)					Routine monitoring records of inspection, maintenance, or repair which reflect satisfaction performance. Change “satisfaction” to “satisfactory.”	OH	6
282.	17	20.c(4).a(4)	2-7.c(4)(a).4		II NNA 1554(8)		Typo – “NN1” should be “NNA” per DOERS reference.	SR	6
283.	17	21	2-8				Header missing reference to item 20.c(4)(b)	SR	4
284.	17	21.f	2-8.f		II NNA-1521(5)		Typo - Retention reference to NARA should be II NNA-1521(5).	SR	6
285.	17	22	2-9		II NNA-2256		DOERS breaks reference out per item, Admin. does not. What are the rules on referencing NARA approval numbers?	SR	4
286.	17	22.a(7)	2-9.a(7)		II NNA-2256(7)		Typo – add “old” at end of retention.	SR	6
287.	17	22.c	2-9.c		II NNA-2063		Typo – “NN1” should be “NNA” per DOERS reference.	SR	6
288.	17	24.c& d	2-11.c& d		II NNA-1735(3c)		Typo – Should be II NNA-1735(3c) per the DOERS.	SR	6
289.	17	24.f	2-11.f		II NNA-2257(15)		Retention is incorrect, should be “1” year instead of “2”.	SR	3R
290.	17	24.h	2-11.h		NN-165-90		Typo – “plans” should be “plants” at end of header.	SR	6
291.	17	24.k	2-11.k		NN 170-21		Typo – “produce” should be “product”.	SR	6
292.	17	25					There is an (a) but no (b).	NVOPS	7
293.	17	25 to end					Remove parenthesis from alphabetical sub-items for Items 25 through the end of the schedule.	SPR	7
294.	17	26	4-2				DOERS has items 2.a, 2.b(1) & (2) reserved, not applied to Admin. Is there a policy on this? (also on admin. 17-27)	SR	7

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295.	17	27					There is no need for the (a).	NVOPS	7
296.	17	28	6-1		II NNA-716A(3)		Typos- "repaid" should be "repair", and "savage" should be "salvage".	SR	6
297.	17	28					Typo - The numbering from Item 28 through the end of this schedule is incorrect. The Items are listed as 2 through 5, instead of Item 28 through 32. Also, Item 30c(1) is written as Item 30c6.	NVOPS	6
298.	17	28.a					Typo - Records which document receipt, use...excess or savage records when such action is taken. Change "savage" to "salvage".	OH	6
299.	17	28-32					Numbering is out of sequence. Goes from 18-27 to 18-2, 3, 4, 5, 6. Should continue numerical sequence, 18-27 thru 18-32.	ORO	7
300.	17	29	6-2		II NNA-716(2)		Header missing "basic data for projecting equipment" needs.....etc. , sentence is incomplete. Need to review with original SF115. Equipment Utilization Report Files. The description is an incomplete thought and ends as "hours idle, and pertinent." Pertinent what?	SR OH	3H
301.	17	30.b	14-1.b		NCI-434-78-2		Reference notes, header and retention, need to be corrected with finalization of Admin. schedule 17 preamble and scope. Also 31.d.	SR	8
302.	17	30.c					2, 3 and 4 The word Destroy or Dispose is missing from the beginning of the retention.	INEEL	7
303.	17	31.e	14-5		NCI-434-78-2		14-5 does not fall under the scope of item 14-2, and should not be listed as 17-31.e.	SR	
304.	17	32	14-6		NCI-434-78-2		Should reference to NQA-1-1986 be updated? Quality Assurance Records. The description references "ANSI/ASM NQA-1-1986 Edition". Change "ASM" to "ASME". Should the 1989 version of NQA-1 be referred to instead of 1986? Therefore, shouldn't the reference be "ANSI/ASME NQA-1-1989 Edition?"	SR OH	6, 7
305.	17	32.a					Records which would be of significant value... Add the word "Retain" to the beginning of the disposition authority (i.e., "Retain until the item...").	OH	7
306.	17	32.b(2)					Records for nuclear facilities... Add the word "Retain until" to the beginning of the disposition authority (i.e., "Retain until 2 years after plant...").	OH	7
307.	17	32.b(3)					Records which are needed to process... Add the word "Retain until"	OH	7

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							to the beginning of the disposition authority (i.e., "Retain until 1 year after plant..."). Also change "whichever is alter" to whichever is later."	SR	
308.	17	32.b(4)	14-6.b(4)				Item 4 is incorrect. Missing header information. No longer has a series description. It used to read "Records which have no value after plant or item is put into operation." Also add the word "Retain" to the beginning of the disposition authority (i.e., "Retain until day after plant..."). Delete "Items 1b and 2d" from the end of the series description.	SR OH	3H
309.	17	general					Retention instructions do not say to "destroy", same as DOERS.	SR	7
310.	17	preamb.			434-98-20		Title to schedule 17 is not sufficient to cover scope of the additions from other schedules. Title is from DOERS schedule 14.	SR	8
311.	17	preamb.					The Introduction still refers to the DOERS, i.e. records covered by DOERS 14, DOERS 2 and GRS 10. References should be made to the current Administrative schedules (i.e. Administrative schedule 10 or change the wording since schedule 17 now covers all of the records in DOERS 4, DOERS 2, and DOERS 14.	INEEL OH	8
312.	17	preamb.					Change title to "Engineering and Facility Management Records" to identify the majority of the series contained therein. An index could help to locate architectural, cartographic, design, etc. series within Schedule 17.	SPR	8
313.	17	preamb.			434-98-20		NARA only approved the first two paragraphs. (Need reference to N1-434-98-20) The remaining paragraphs are not referenced back to their NARA approvals (DOERS or N1s.) Also, addition of the various DOERS schedules into this one schedule is very undesirable and convoluted! (especially from schedule 1)	SR	8
314.	17	preamb.			434-98-20		The preamble references you back to the DOERS for items covered under DOERS – 2, 4, and 14. These schedules are no longer valid per the CIO webPage crosswalk instructions "DOE Records Schedules (DOERS) - were previous guidance for the retention of DOE records. The requirements of the DOERS have been incorporated into the appropriate Administrative Schedule.....etc."	SR	8
315.	18	01.3			434-98-21		Typo – "1.3" should read "1.1"	SR NVOPS INEEL	6

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316.	18	01.a			434-98-21		Typo - header – “for” not “of”	SR	6
317.	18	01.a(1)					The disposition instructions needs to be indented properly.	NVOPS	7
318.	18	01.b(3)			434-98-21		Typo - header – add “s” to “document”	SR	6
319.	18	01.c		18.1			Header – unapproved changes (e.g. sensitive docs); Retention – unapproved changes (fiscal year cutoff and reference to 434-98-21)	SR	3
320.	18	02		18-2			Retention – unapproved changes (fiscal year cutoff)	SR	2
321.	18	02 03 04					Items 2, 3 and 4 There are other approved schedules (NI-434-89-3) changing the retention on items 2, 3 and 4 from 2 years to 3, 5 and 5 years, respectively, which is what is required by law. This needs to be changed.	INEEL	3R
322.	18	03		18-3			Retention – unapproved changes (fiscal year cutoff)	SR	2
323.	18	04					***Unapproved on 434-98-21; need to review, do not have n1-434-89-3(3)	SR	3
324.	18	05		18-5			Note from GRS following 18-5.b is not included. A. & B. - change to lower case.	SR NVOPS SPR	1, 7
325.	18	06		18-6			Retention – unapproved changes	SR	3R
326.	18	07.b		18-7.b			Unapproved change (Header missing words; note is missing from GRS) Typo – “an” should be “and”	SR	3H 6
327.	18	08		18-8			Unapproved changes (Header/Note – “government” not “DOE”, “agency” not “DOE”) (Retention – unapproved changes (fiscal year cutoff)	SR	2 3
328.	18	08.4			434-98-21		Header missing reference to 434-98-21.	SR	
329.	18	08.4.d			434-98-21		Typo - Header (“on” not n-site)	SR	6
330.	18	08.8			434-98-21		Typo ?- Header – Meaning not clear “records of federal records of federal and contractor.....”	SR	6
331.	18	08.8					(a and b) A blank line needs to be inserted between the description and the retention.	INEEL	7
332.	18	08.8(a)			434-98-21		Retention – unapproved changes	SR	3R
333.	18	11		18-11			Header and Retention – unapproved changes (retention from 2 to 75 years)	SR	3
334.	18	11					Typo - The word “no” should be “not”... Not included here are records...	INEEL	6
335.	18	11.1	1-1.a				Unapproved change (Entire section needs to be reworked)	SR	3

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336.	18	11.1(a)	1-1.a		NC-326-75-2	X-Walk	Add item "b" to the DOE Administrative reference. It is currently not referenced anywhere. So it should read DOE Admin 18, item 11.1 (a&b)	INEEL	7, 9
337.	18	11.1(b)	1-1			X-Walk	Reference is to DOERS; crosswalk does not reference Admin 11.1.b	SR	9
338.	18	11.1(g)	1-9				Typo - Item 11.1.a., Header – should be numbered "g" instead of "a"	SR NVOPS	6
339.	18	11.1(g)(1-g(6)	1-9.a-f		NC1-430-76-9(6)	X-Walk	Change the reference to Items 11.1.g (1 thru 6)	INEEL	9
340.	18	11.1(g).3	1-9.c				Change reference from "item b above" to "item 2 above".	SR	6
341.	18	11.4(b)	1-2				Typo – (Header – "fire" not file)	SR ORO	6
342.	18	11.4(g)	1-2.g				Need to verify SF115 approval no. Not in DOERS.	SR	4
343.	18	13		18-13			Header – delete "security police officer"	SR	1
344.	18	13.b		18-13.b			Unapproved change (Retention – fiscal year cutoff)	SR	2
345.	18	14.d		18-14.c			Retention – unapproved changes (fiscal year cutoff)	SR	2
346.	18	15.a&b		18-15			Retention – unapproved changes (fiscal year cutoff) {affects retention}	SR	2
347.	18	16					Should the word "active" be "inactive"?...place records in inactive file.	INEEL	6
348.	18	16.a		18-16.a			Unapproved changes (Header & Retention)	SR	3
349.	18	17.1			434-98-21		Header - SF115 reference is incorrect – should be 434-98-21. Typo – "crated" should be "created".	SR	6
350.	18	18.a&b		18-18			Headers – changes in wording (typical for 18,19,and 20)	SR	3H
351.	18	20		18-20			Header – "guard" not security	SR	6
352.	18	21.2		18-21			Unapproved changes (Header – title, and body - "security" not "access authorization"; Retention (fiscal year cutoff))	SR	3
353.	18	21.3			434-98-21		Header – and "and" after consultants, line 3	SR	6
354.	18	22.a			434-98-21		Retention – 2 nd line, should be "in an" instead of "is n"	SR	6
355.	18	23			434-98-21		Typo - Header – "or" not of	SR	6
356.	18	24		18-24			Unapproved changes (entire section)	SR	3
357.	18	25.a			434-98-21		Unapproved change (entire section)	SR	3
358.	18	26		18-26			Note from GRS is missing	SR	1
359.	18	26					Reduce the indentation on the disposition instructions.	NVOPS	7
360.	18	27		18-27			Unapproved change (Header); Note from is GRS missing	SR	3H
361.	18	28		18-28			Unapproved change (Header) Typical "Agency" to "DOE" change and	SR	3H

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							ref.		5
362.	18	29		18-29			Typo – (Header “records” not reports; under b, add “w” to ere) Unapproved changes (Retention for a & b)	SR	3R 6
363.	18	35.1(a)			434-98-21		SF115 approval reference is incorrect. Typo – (Header “performing in” omitted in 3 ^d line). Retention: This retention is convoluted and not clear in its meaning. “When the employee currently or in the future will no longer” This is not a complete sentence. There is no destruction instruction. Also, this is every person in every job ----- we’re all gonna die.	SR	3, 4, 6
364.	18	35?					There is no Admin. 18-35???	SR	
365.	18	36.1			434-98-21		Header - SF115 reference is incorrect – should be 434-98-21. Retention: This retention is convoluted and not clear in its meaning.	SR	3R, 4
366.	18	37			434-89-10		Did not have a copy of 434-89-10 for review	SR	
367.	18	42				X-Walk	X-Walk references item 42. There is no Admin. 18-42???	SR	9
368.	18	42.1	13-1		434-98-21		Header - SF115 reference is incorrect – should be 434-98-21.	SR	4
369.	18	47	12-1		NC1-430-76-7	X-Walk	Change the DOE Administrative reference of Item 47 to “Item 48”.	INEEL	7
370.	18	48				X-Walk	Crosswalk refers to Admin. 18-47 --- that item is reserved in schedule; approved schedule reserves through 48. Where did Admin. 18-48 come from??? It appears that DOERS 12-1 is referenced to Admin. 18-47, with Unapproved changes???	SR	3, 9
371.	18	48	12-1				Unapproved changes (Header)	SR	3H
372.	18	48			434-98-21		Preamble (modified from DOERS 5) should reference 434-98-21. Header – “DOE” should be all-caps	SR	8, 4, 6
373.	18	49	5.1				Retention – unapproved changes (fiscal year cutoff)	SR	2
374.	18	50	5-2				Unapproved change (Header)	SR	3H
375.	18	50.b	5.2				Unapproved changes (Retention – fiscal year cutoff)	SR	2
376.	18	50.b	5-2		II NNA-1735(1b)	X-Walk	Remove the “b” from the DOE Administrative reference.	INEEL	9
377.	18	51			434-98-21		Header - SF115 reference should be 434-98-21.	SR	4
378.	18	51.a	5.3				Retention – unapproved changes	SR	3R
379.	18	52			434-98-21		Header - SF115 reference should be 434-98-21.	SR	4
380.	18	52.b					Remove the (1) after the “b”.	NVOPS	7
381.	18	52.b	5-4.b(2)		434-98-21		Item b(2) “All Others” was omitted from Admin Schedule, but is in the	ORO	

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							SF-115 N1-434-98-21 and DOERS 5-4.b(2). Should 18-52.b(2) All Others, be included in Admin Schedule?		
382.	18	52.c			434-98-21		Header and retention - SF115 reference should be 434-98-21.	SR	4
383.	18	55	5-8				Unapproved change (Header)	SR	3H
384.	18	56	5.8		434-98-21		Header and Retention – SF115 reference should be 434-98-21.	SR	4
385.	18	57(a&b)	5-9		II NN-3225	X-Walk	Remove the “a & 57b” from the DOE Administrative reference. Keep it at the higher level of “Item 57”. 18-57(a&b) are an exact duplicate of 17-24.1(1&2)	INEEL	3, 7, 9
386.	18	Description prior to item 48					Description just prior to Item 48. Nuclear Materials Control & Accountability Records This schedule covers special material accountability records which pertain to documentation involved in the allocation and transfer of nuclear material. Transfer of special nuclear material, DOE-owned source material, and certain other DOE-owned material transferred within the United States or between the United States and foreign entities is controlled. The records covered are material transfer, reporting, inspections, requests for material, allotments, and allocations. Needs to be modified to reflect “the following schedule items” vs. “this schedule” or “The following items 48 through 57” or “The remaining items in this schedule”.	INEEL	
387.	18	Preamb.			434-98-21		Preamble was approved on the SF115. Need to reference 434-98-21.	SR	4, 8
388.	19	09					Finding Aids (or Indexes). The disposition authority reads “Delete when related records or when...” instead of “Delete with related records or when...”	OH	6
389.	19	13					Typo - Word Processing Files. The disposition authority reads “Delete from the work processing...” instead of “Delete from the word processing...”	OH	6
390.	20	01					20-1 Files/Records Relating to the Creation, Use.. is currently numbered 20-4a, b and c. Should 20-4a, b, and c be changed to 20-1?	ORO	7
391.	20	01.a		20-1.a			Retention – “agency” not record custodian	SR	3R
392.	20	01.b					20-1 (currently 4) b needs to separate description from disposition. 20-1.b should have a carriage return after description sentence.	ORO INEEL	7

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393.	20	01.c		20-1.c			Typo - Header – “trail” not “train”; Retention – “agency” not record custodian	SR ORO	6
394.	20	02.a		20-2.a			Header – “NARA-approved” not departmental	SR	3H
395.	20	02.c		20-2.c			Header – “receiving agency” not dept.	SR	3H
396.	20	03.b		20-3.b			Header – unapproved changes	SR	3H
397.	20	03.b(1)		20-3.b(1)			Retention – “agency” not record custodian	SR	3R
398.	20	03.b(3)		20-3.b(3)			Retention – “agency” not record custodian	SR	3R
399.	20	04		20-4			Header & Retention– unapproved changes	SR	3
400.	20	05		20-5			Header, Retention & Note – unapproved changes	SR	3
401.	20	06		20-6			Retention – “agency” not record custodian; “they are” not it is	SR	3R
402.	20	07		20-7			Header & Retention – unapproved changes	SR	3
403.	20	07					Typo - First sentence, information interchanged. Should it read information interchange?	ORO	6
404.	20	08		20-8			Header – “agency” not record custodian	SR	7
405.	20	09		20-9			Header & Retention – unapproved changes	SR	3
406.	20	10		20-10			Header – “GRS” item not “this schedule”; “or any master.....” repeated	SR	7
407.	20	10					Typo - Near end of sentence, file ro data base. Should it be file or data base?	ORO	6
408.	20	10.1.a			434-98-22		Typo - Header – “of” not or	SR	6
409.	20	11.a& note		20-11.a			Header and Note – “theGRS” not this schedule	SR	7
410.	20	12.a&b		20-12			Header & Retention a & b – “agency” not dept. or record custodian	SR	3
411.	20	13		20-13			Typo - Retention – “word” not work	SR	6
412.	20	15.b		20-15			Retention – “GRS” not this schedule; “a NARA-approved”; “agency” software	SR	7
413.	20fx	03.a		20-3.a			Header & Retention – unapproved changes	SR	3
414.	21				434-98-23		Header – under requirements for permanent retention, 7 th item should read “agency-sponsored.....for internal use”	SR	6
415.	21	01.1c			434-98-23		Header – “agency” not dept.; Retention – should be “agency” business, but not clear	SR	5
416.	21	01.2			434-98-23		Retention – “agency” not dept.	SR	5
417.	21	01.3			434-90-7		***Unapproved on 434-98-23; did not have 434-90-7 (after reviewing 90-7 on 4/18/02, we disagree with NARAs interpretation that these are equivalent record series (kcn).	SR	

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418.	21	02		21-2			Retention – unapproved changes	SR	3R
419.	21	03.a			434-98-23		Retention – “agency” not dept.	SR	5
420.	21	03.b		21-3			Header – unapproved changes	SR	3H
421.	21	03.b					Typo “Our” training materials. Should read, “Other”	ORO	6
422.	21	04		21-4			Header/Retention – unapproved (GRS has reserved) DOE Administrative Schedule 21, Item 4 is now described as “Duplicate audiovisual items”. In the GRS it was a Reserved item. Is this item being used for the same records as those that were Reserved previously?	SR INEEL	3
423.	21	06		21-6			Retention – unapproved changes	SR	3R
424.	21	06.1			434-90-1		***Unapproved on 434-98-23; did not have 434-90-1		
425.	21	08		21-8		434-98-23	Retention – unapproved changes Admin Schedule Retention states, “Destroy 1 year after final production or when no longer needed.” NARA marked through on SF-115 N1-434-98-23 as not approved. GRS retention states, “Destroy when no longer needed for publication or reprinting”. Which is the “approved” retention?	SR ORO	3R
426.	21	09.1		21-3			Header – unapproved changes	SR	3H
427.	21	09.2			434-98-23		Retention – “agency” not dept.	SR	5
428.	21	10		21-10			Unapproved changes – GRS is reserved DOE Administrative Schedule 21, Item 10 is now described as “Entertainment films”. In the GRS it was a Reserved item. Is this item being used for the same records as those that were Reserved previously?	SR INEEL	3
429.	21	12.1			434-98-23		Retention – “agency” not dept.	SR	5
430.	21	13		21-13			Unapproved – GRS is reserved DOE Administrative Schedule 21, Item 13 is now described as “Duplicate prints”. In the GRS it was a Reserved item. Is this item being used for the same records as those that were Reserved previously?	SR INEEL	3

Item No.	Admin No.	Section No.	DOERS No.	GRS No.	NARA APP.No.	SF115 /other	Issues/Comments	Site ID	Generic Issue #
431.	21	15		21-15			Unapproved – GRS is reserved DOE Administrative Schedule 21, Item 15 is now described as “Entertainment outside acquisitions”. In the GRS it was a Reserved item. Is this item being used for the same records as those that were Reserved previously?	SR INEEL	3
432.	21	17.a		21-17			Header – unapproved changes	SR	3H
433.	21	17.b			434-98-23		Retention – “agency” not dept.	SR	5
434.	21	19		21-19			Retention – unapproved changes	SR	3R
435.	21	19.1			434-98-23		Retention – “agency” not dept.	SR	5
436.	21	20.1			434-98-23		Retention – “agency” not dept.	SR	5
437.	21	21		21-21			Unapproved – GRS is reserved	SR	3
438.	21	21 27					Duplicate. DOE Administrative Schedule 21, Item 21 is now described as “Duplicate dubbings”. In the GRS it was a Reserved item. Is this item being used for the same records as those that were Reserved previously?	INEEL	3
439.	21	21.1			434-98-23		Retention – “agency” not dept.	SR	5
440.	21	25		21-25			Unapproved – GRS is reserved DOE Administrative Schedule 21, Item 25 is now described as “Library sound recordings”. In the GRS it was a Reserved item. Is this item being used for the same records as those that were Reserved previously?	SR INEEL	3
441.	21	27		21-27			Unapproved – GRS is reserved	SR	3
442.	21	28.a		21-28			Header – unapproved changes; Reference incorrect, there is no GRS 21-28.a	SR	3H
443.	21	29		21-29			Typo - Header – “finding” not funding	SR	6
444.	22				434-00-1		Introduction – 1 st & 2 nd paragraphs unapproved changes	SR	3H
445.	22						The retention periods need to be on a separate line below the description. (Consistent with the other schedules format).	INEEL	7
446.	22	01.a					Remove the bold from the (a).	NVOPS	7
447.	22	01.a(1)					Correct indentation in this entire section.	NVOPS	7

Item No.	Admin No.	Section No.	DOERS No.	GRS No.	NARA APP.No.	SF115 /other	Issues/Comments	Site ID	Generic Issue #
448.	22	07.b(1)					This item has no (2) so there should be no (1).	NVOPS	7
449.	22	sec 1			434-98-24		Apparently this entire section/job number unapproved	SR	
450.	22	sec 2			434-00-1		Introduction has unapproved changes	SR	3H
451.	23	01		23-1			Header and Retention – unapproved changes	SR	3
452.	23	05.a		23-5.a			Header – add note reference; delete item in parenthesis; Retention – unapproved change Note missing	SR	3
453.	23	05.b		23-5.b			Retention – unapproved change (the fiscal yr cutoff could cause additional retention time of up to 11 mos.)	SR	2
454.	23	06.b		23-6.b			Header/Retention – “withdraw documents.....should be part of retention, not header	SR	3
455.	23	07		23-7			Unapproved changes in header and retention – retention adds cutoff	SR	3
456.	23	08		23-8			Unapproved changes in header and retention – retention adds cutoff	SR	3
457.	23	08					The instructions for 23-8 is “Cut off at the end of the fiscal year.” I don’t know any office that runs correspondence by fiscal year, it’s all calendar year.	WIPP	2
458.	23	09		23-9			Unapproved changes in header	SR	3H

Attachment C

Non-Generic Issues Breakout

Item No.	Admin No.	Section No.	DOERS No.	GRS No.	NARA APP.No.	SF115 /other	Issues/Comments	Site ID	Recommendation
1	01	01.1					DOE Records Management Web Site Update #08 made the following changes to Record Schedules: "Admin 1-1.1 - Corrected reference from N1-434-89-1 to N1-434-98-1", however, the 02-11-2002 version of this schedule still reflects "N1-434-89-1".	OH	Already corrected
2	01	15					Description was modified to make generic.	RL	Move to Generic Issues list as an Item #3
3	01	21.3(a)			430-76-9(4)		"Personnel Exposure Dose Records" does not have retention assigned, at least here in this part of the schedule.	SR	Add referential note: "see items 21.4 and 21.5"
4	01	21.4					Reference DOERS 1.6 On matrix there is a reference to something below 21.4 (not in our copy)	RL	No problem, delete from CIM.
5	01	21.5					NOTE missing	RL	Pam Thurman to verify status of this issue.
6	01	21.d			434-01-1		Need to verify N1-434-01-1	SR	Jay Blewitt to verify
7	01	24.a(1)					Description, SF278 was SF278a	RL	Verify correct form number and edit accordingly.
8	01	29					There is no citation for employee training records that do NOT deal with hazardous materials, i.e. computer training, etc. Are these no longer to be separated from other training records?	ORO	DOE HQ (Jay) to review training records sections and evaluate for resubmit on SF115.
9	01	29.1			434-98-4	434-88-1	Header needs to reference 434-98-4 or should have been crossed out on SF-115. Should header reference both? WSRC challenges the schedule item in its entirety. Scoping of contents of individual training folders to this level of detail is not practical. Also, 1-29.1(a) restricts contents to ONLY those items listed which is not practical. Breakout of item 1-29.1(b) is not practical. WSRC challenges destruction instructions given for item 29.a(4) in both retention cases.	SR	DOE HQ (Jay) to review training records sections and evaluate for resubmit on SF115.
10	01	29.b		1-29.b	434-98-4		Strongly disagree with retention of 75 years requested as a change from the GRS retention of 5 years.	SR	Resubmit to Nara requesting reversion back to original retention – 5 years.
11	01	36.a					Description excluded the oversight pp-	RL	Need to correct reference on header.
12	01	36.e(1)		1-36.e(1)(b)			(1) Positive Results GRS 1-36.e(1)(b) Applicants not accepted – Admin 1-36 does not give such guidance for "no hires" – should this be included?	ORO	Rework – add "no-hire" retention to schedule.
13	01	42					In the INEEL's original Draft Administrative Schedules, we requested a "10-year" retention. Why was it changed to 4 years?	INEEL	Need to correct reference. Add GRS 1-42.a.1? Resubmit SF115 requesting longer retention.

Item No.	Admin No.	Section No.	DOER S No.	GRS No.	NARA APP.No.	SF115 /other	Issues/Comments	Site ID	Recommendation
14	01	42		1-42 (a)(b) and (c)			a, b and c. Alternate worksite records. These records are not included in the DOE Administrative Schedules anywhere.	INEEL	Need to add to the ARS. (new item 1.57) reevaluate and clarify b. & c.
15	01	55			434-98-4		Need clarification of "record set" and record series. Would this mean printing an electronic snapshot of the employee directory maintained in an e-mail system, for instance, and maintaining each output for 75 years?	SR	Delete "record set" from description.
16	03	03.a					Need to show actual dollar amount?	OH	Leave as is.
17	03	10					Telephone Records – states the retention period is 3 years for these records. Why is this in the Admin 3 also?	DOE-HQ	Jay to add note to 3-10 & 12-4
18	04	03.d					Terminology has changed from "Excess real property" to "Disposal of surplus real..." Suggest changing the current description to "Case files on disposal of surplus/excess real and related personal property".	INEEL	Leave as is.
19	05	02					Retention was "6 years", now "1 year" why was this changed?	INEEL	Crosswalk to be corrected (GRS 5-2). DOERS reference is incorrect.
20	09	01.1					Foreign Travel Authorizations – Both "a" and "b" have the same retention periods. In the INEEL's original Draft Administrative Schedules, we requested a 6-year and 2-year retention period respectively. Why were these changed?	INEEL	Okay as is.
21	09	06		9-6 (a) and (b)			(a and b) Non-federally funded travel. No longer exists in the DOE Administrative Schedules. (a and b) E-mail and word processing system copies. Now falls under Administrative Schedule 9, Item 6 (a & b), which was used for Non- federally funded travel.	INEEL	Add new GRS 9-6 & 9-7
22	09	07		9-7			Federal employee transportation subsidy records. No longer exists in the DOE Administrative Schedules.	INEEL	Okay as is.
23	11	06.a		11-6.a			Electronic Mail and Word Processing System – Should this be same as in GRS? Admin 11-6 appears incomplete and with no retention/disposition.	ORO	Okay as is.
24	11	06.b		11-6.b			Electronic Mail and Word Processing System – Should this be same as in GRS? Admin 11-6 appears incomplete and with no retention/disposition.	ORO	Okay as is.
25	14	44					From web version of the adm 14	RL	Okay as is.
26	14	45					From the web version of the adm 14	RL	Okay as is.
27	14	46					From web version of the adm 14	RL	Okay as is.
28	14	47					From web version of the adm 14	RL	Okay as is.
29	14	48					From web version of the adm 14	RL	Okay as is.
30	14	49					From web version of the adm 14	RL	Okay as is.

Item No.	Admin No.	Section No.	DOERS No.	GRS No.	NARA APP.No.	SF115 /other	Issues/Comments	Site ID	Recommendation
31	14	50					From web version of the adm 14	RL	Okay as is.
32	14	51					From web version of the adm 14	RL	Okay as is.
33	14	52					From web version of the adm 14	RL	Okay as is.
34	14	53					From web version of the adm 14	RL	Okay as is.
35	14	54					From web version of the adm 14	RL	Okay as is.
36	14	55					From web version of the adm 14	RL	Okay as is.
37	16	03.a					Description added Department or Contractor from agency.	RL	Move to Generic Issues list as an item 5.
38	16	08		16-8			Committee and Conference Files. No mention is made to conference records other than in the titles.	FERMI	N1-434-01-8 has been revised and superceded. Need to post to the Website.
39	16	08.d					Addition to Admin. Schedule 16-8 Committee and Conference Files, items d(1), (2) and (3) with subitems was published in 2001 – it is not included in the most recent Schedule 16. Has the 16-8.d been removed or is it pending NARA approval on SF-115?	ORO	N1-434-01-8 has been revised and superceded. Need to post to the Website.
40	17	19.c					Was reserved under DOERS 2, item 6.c. Need to	INEEL	Delete "reserved" when from DOERS.
41	17	31.e	14-5		NCI-434-78-2		14-5 does not fall under the scope of item 14-2, and should not be listed as 17-31.e.	SR	Change to 17-31.1
42	18	08.4			434-98-21		Header missing reference to 434-98-21.	SR	Corrected per Jay's draft.
43	18	35?					There is no Admin. 18-35???	SR	Drop the .1 on 35 & 36.
44	18	37			434-89-10		Did not have a copy of 434-89-10 for review	SR	Okay, Jay to verify.
45	18	52.b	5-4.b(2)		434-98-21		Item b(2) "All Others" was omitted from Admin Schedule, but is in the SF-115 N1-434-98-21 and DOERS 5-4.b(2). Should 18-52.b(2) All Others, be included in Admin Schedule?	ORO	Corrected by Jay???
46	18	Description prior to item 48					Description just prior to Item 48. Nuclear Materials Control & Accountability Records This schedule covers special material accountability records which pertain to documentation involved in the allocation and transfer of nuclear material. Transfer of special nuclear material, DOE-owned source material, and certain other DOE-owned material transferred within the United States or between the United States and foreign entities is controlled. The records covered are material transfer, reporting, inspections, requests for material, allotments, and allocations. Needs to be modified to reflect "the following schedule items" vs. "this schedule" or "The following items 48 through 57" or "The remaining items in this schedule".	INEEL	Need to review wording on item 48 – Sharon Evelin to work with Environmental/Rad. group to clarify. Need to rework 48 through 57 placement.
47	21	01.3			434-90-7		***Unapproved on 434-98-23; did not have 434-90-7 (after	SR	Sharon to check with John Ellis about approving "new" words as is on

Item No.	Admin No.	Section No.	DOER S No.	GRS No.	NARA APP.No.	SF115 /other	Issues/Comments	Site ID	Recommendation
							reviewing 90-7 on 4/18/02, we disagree with NARAs interpretation that these are equivalent record series (kcñ).		previously submitted SF115.
48	21	06.1			434-90-1		***Unapproved on 434-98-23; did not have 434-90-1		Okay as is.
49	22	sec 1			434-98-24		Apparently this entire section/job number unapproved	SR	Has been resubmitted and approved.

Attachment D

Document Control Program Recommendations

Identify required source documents

- SF115s
- GRS (latest revision)
- DOERS (SF115s)
- others?

Establish links to source materials to maintain access for the latest information/revision

Create baseline documents and establish program requirements

- select software application to be used to write schedules (MSWord?)
- create Administrative Schedules 1 through 23 from source documents
- set-up file plan for schedules (electronic filing structure)
- document the change control program (rules & process)
- establish distribution requirements (controls & methods)
- implement proactive notification process of changes to baseline documents
- establish method for identifying/incorporating moratorium/freeze information into baseline documents

Website

- determine format for schedules on WEB (PDF?)
- establish change control rules and process for updating from baseline documents
- implement proactive notification process of changes to website documents

File record copy of baseline documents for long term management. Need to determine if a record copy of the website “snapshot” is required or should be considered.

Other

- incorporate orphaned GRS schedules into the Administrative Records Schedule baseline.
- make site-specific SF115s available to all sites – authorize use at sites which need to use them.
- incorporate Administrative Schedules into a database.